

**U.S. Department of Education
Office of Postsecondary Education
Washington, DC 20202**



**Request for Fiscal Year 2003 Designation
as an Eligible Institution
for the
Strengthening Institutions Program
American Indian Tribally Controlled Colleges and
Universities Program
Alaska Native and Native Hawaiian-Serving
Institutions Program
and the
Developing Hispanic-Serving Institutions
Program**

(CFDA Number: 84.031 H)
Form Approved
OMB NO. 1840-0103, ED FORM 1049
Expiration Date: October 31, 2004

Closing Dates: January 31, 2003 and May 23, 2003

FISCAL YEAR 2003

**DESIGNATION AS AN ELIGIBLE INSTITUTION
FOR THE
STRENGTHENING INSTITUTIONS PROGRAM
AMERICAN INDIAN TRIBALLY CONTROLLED COLLEGES AND
UNIVERSITIES PROGRAM
ALASKA NATIVE AND NATIVE HAWAIIAN-SERVING
INSTITUTIONS PROGRAM
AND THE
DEVELOPING HISPANIC-SERVING INSTITUTIONS PROGRAM**

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October, 2002

Dear Applicant:

We are pleased to provide the application for fiscal year (FY) 2003 designation as an eligible institution for programs funded under Title III, Part A and Title V of the Higher Education Act of 1965, as amended. This booklet includes the information, instructions and forms you need to apply for eligibility designation.

Eligibility designation qualifies an institution of higher education (IHE) to receive grants under the Title III, Part A and Title V programs. Title III, Part A authorizes the Strengthening Institutions, American Indian Tribally Controlled Colleges and Universities, and Alaska Native and Native Hawaiian-Serving Institutions Programs. Title V authorizes the Developing Hispanic-Serving Institutions Program. The overall purpose of these programs is to assist eligible IHEs to improve their academic programs, institutional management and fiscal stability. To receive grants under these programs, an IHE also must meet program-specific eligibility requirements.

In addition, eligibility designation allows IHEs to receive a waiver of certain non-Federal share requirements under the Federal Work Study Program, the Federal Supplemental Educational Opportunity Grants Program, the Student Support Services Program and the Undergraduate International Studies and Foreign Language Program.

All IHEs interested in applying for new FY 2003 Title III, Part A or Title V grants, including IHEs currently receiving funds under Title III, Part A or Title V, must apply for eligibility designation by the January 31, 2003 deadline. IHEs interested only in obtaining a waiver of certain cost-sharing requirements must apply for eligibility designation by the May 23, 2003 deadline. IHEs interested in both applying for new Title III, Part A or Title V grants, and obtaining a waiver of cost-sharing, must apply for eligibility designation by the January 31, 2003 deadline.

IHEs who are currently receiving Title III, Part A or Title V funds, but are not applying for new FY 2003 grants, and IHEs designated as Historically Black Colleges and Universities, do not need to apply for eligibility designation.

We strongly encourage you to complete the eligibility application early and to submit it electronically. Please make sure you submit the application by the pertinent deadline date. If we can be of help, please contact us at the phone numbers or e-mail addresses cited in the eligibility instructions.

Sincerely,

Wilbert Bryant
Deputy Assistant Secretary
for Higher Education Programs

**INSTRUCTIONS FOR COMPLETING THE
APPLICATION FOR DESIGNATION AS AN ELIGIBLE INSTITUTION
UNDER TITLE III AND TITLE V FORM (ED FORM 1049)**

- **Study the eligibility application form (ED Form 1049) and the instructions for completing the form. Then go on to the Internet and access the same under the “eligibility 2003” link at either of the following web sites:**

<http://www.ed.gov/offices/OPE/HEP/idades/title3a.html>

<http://www.ed.gov/hsi>

- Log on to the Internet after November 1, 2002 and **access the eligibility application form (ED Form 1049)** using the following site:

<http://webprod.cbmiweb.com/title3and5/index.html>

- You will need your institution's unique 8-digit identifier, referred to as the OPE Identification (OPE ID) number, in order to electronically retrieve and complete a valid eligibility application form. If we sent you a hard copy of the eligibility booklet in the mail, we posted your institution's OPE ID number on the mailing label. If, for some reason, your institution's OPE ID number is not readily available, **check with your business officer or student financial aid officer as they will very likely have that OPE ID number.** If not, contact our program office by calling 202-502-7777, 7577, 7580 or 7583 or e-mailing the eligibility contact persons:

Thomas.Keyes@ed.gov

Ellen.Sealey@ed.gov

Margaret.Wheeler@ed.gov

- Periodically in these instructions, we refer to certain sections of program regulations. We anticipate that you will not need to read the program regulations because we have attempted to make these eligibility instructions all-inclusive. However, in the event you wish to check a

regulation governing the Title III Part A Programs or the Title V Developing Hispanic-Serving Institutions Program, you may do so at the following web site:

<http://www.ed.gov/legislation/FedRegister/finrule/1999-4/121599a.html>

- Only **individual** institutions, including free-standing branch campuses, may apply for designation as an eligible institution. A higher education system, foundation or district may not apply on behalf of individual institutions.
- Submit data pertinent solely to your institution, no matter whether your institution normally maintains and submits data to the U. S. Department of Education as part of a single filing by a higher education system for all institutions within that system or by a district for all institutions within that district.
- **To be designated as eligible as a branch campus**, an institution must meet the needy student enrollment requirement, the educational and general expenditures requirement, and the definition of a branch campus. The regulations at 34 CFR Part 606.7(b) and 34 CFR Part 607. 7(c) define “branch campus” to mean a unit of a college or university that is geographically apart from the main campus. We consider a unit of a college or university to be independent of the main campus if the unit is permanent in nature, offers courses for credit and programs leading to an associate or bachelor’s degree, and is autonomous to the extent that it has its own faculty and administrative or supervisory organization and its own budgetary and hiring authority. If your institution is applying for eligibility as a branch campus, provide the eligibility data pertinent only to that particular campus.
- After completing the form electronically, double check to see that all of your figures are accurate, use the print button and only then use the submit button.

- If your institution does **not** meet the needy student enrollment requirement and/or the educational and general expenditures requirement(s) and you need to include a narrative with your eligibility application form, complete your request for eligibility on-line, print the form, and press the submit button. On or before the appropriate closing date, e-mail your narrative waiver request(s) to the eligibility contact persons and, then, mail your signed narrative waiver request(s) with the printed eligibility application form to:

**U.S. Department of Education
Institutional Development and Undergraduate
Education Service (IDUES)
1990 K Street, N.W.
Request for Eligibility Designation
Attention: Thomas Keyes, Room 6048
Washington, D.C. 20202-8513**

- If you do not have internet access, study the hard copy eligibility application booklet with the instructions and form, complete the form, have the president or duly authorized representative sign it, complete your request for eligibility, and mail it, as soon as possible but no later than the appropriate closing date, to the address above. You may duplicate the form or construct the form on your computer.
- You are responsible for verifying the accuracy and completeness of the data you submit. We are unable to notify institutions of errors or omissions in their data.

PART I. IDENTITY OF APPLICANT

Part I, Item 1. NAME OF INSTITUTION/CAMPUS

Use your institution's complete name. If your institution is a branch campus, use the parent institution's name but follow it with the name of the branch campus. E.g., You would identify the State University of New York, Brockport campus as "SUNY Brockport."

Enter the name of the institution in the spaces provided.

If your institution's name changed within the last 2 years, include the former name on the appropriate line provided in Part V of the hardcopy eligibility application form.

PART I, ITEMS 2 THROUGH 5.

Self explanatory.

PART I, ITEM 6. DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

Enter your institution's DUNS number in the spaces provided.

DUNS Number: Dun and Bradstreet assigns your institution's 9 digit DUNS number. Your business office will likely know your institution's DUNS NUMBER. If not, you can obtain it at no charge by calling 1-800-333-0505 or by completing a DUNS Number Request Form. Obtain the form using the following web site:

<http://www.dnd.com/dnhome.htm>

PART I, ITEM 7. TYPE OF INSTITUTION

Enter your institution's type: **Identify the institution as either a 2-year or 4-year institution of higher education.**

If your institution recently changed its status from 2-year to 4-year, identify the institution as 4-year.

If your institution offers only a 2-year certificate program designed to prepare a student to work as a technician, or at the semiprofessional level in technological fields, identify it as a 2-year institution. On a separate sheet of paper, briefly justify your institution's inclusion within the regulatory definition of "junior or

community college". The regulations found at 34 CFR Part 606.7(b) and at 34 CFR Part 607.7(c) define a junior or community college as an institution of higher education that provides an educational program of not less than 2 years that is acceptable for credit toward a bachelor's degree or that offers a 2-year program in engineering, mathematics, or the physical or biological sciences designed to prepare a student to work as a technician or at the semiprofessional level in engineering, scientific, or other technological fields requiring the understanding and application of basic engineering, scientific, or mathematical principles of knowledge.

If the institution offers both undergraduate and graduate education, identify it as a 4-year institution.

If the institution operates a freestanding medical school, offering graduate or postgraduate medical education, identify it as a medical school. On a separate sheet of paper, explain how your educational program makes a substantial contribution to providing opportunities for minorities and economically disadvantaged students.

PART I, ITEM 8. CONTROL OF INSTITUTION

Identify the institution as either a private, nonprofit institution or a public institution.

A private, non-profit institution is one that does not operate under public or state, local or Indian tribal government supervision or control.

A public institution is one that operates under the administrative supervision or control of a government other than the Federal Government.

PART II. INSTITUTIONAL ENROLLMENT

PART II, ITEM 1. TOTAL INSTITUTIONAL FALL 1999 HEADCOUNT ENROLLMENT

Determine the institution's opening **Fall 1999** academic term **headcount for enrolled undergraduate and graduate students**.

Do not include foreign students who are not eligible to participate in Title IV need-based financial assistance programs.

Enter this number in the spaces provided.

PART II, ITEM 2. FALL 1999 MINORITY STUDENT HEADCOUNT ENROLLMENT

Determine the institution's opening **Fall 1999** academic term **headcount for enrolled undergraduate and graduate minority students**.

Do not include foreign students who are not eligible to participate in Title IV need-based financial assistance programs.

The Regulations at 34 CFR Part 606.7(b) and Part 607.7(c) identify minority groups to include individuals who are Alaska Natives, American Indians, Asian-Americans, Blacks (African-Americans), Hispanic Americans, Native Hawaiians, or Pacific Islanders.

Enter this number in the spaces provided.

PART III. INSTITUTIONAL STATISTICS

ITEM 1. Needy Student Requirement

Fill out Part III, Items 1A through 1D using the following instructions.

PART III, ITEM 1.A. Fall 1999 Headcount Enrollment of Undergraduate Degree Students

Determine the institution's total opening **Fall 1999 academic term headcount for undergraduate students who were enrolled in a degree program**. The regulations at 34 CFR Part 606.7(b) and at 34 CFR Part 607.7(c) define "degree student" to mean a student who enrolls at an institution for the purpose of obtaining the degree, certificate or other recognized educational credential offered by the institution. We consider the transcript that a student receives for the successful completion of a two-year transfer program to be an "other recognized educational credential."

Do not include foreign students who are not eligible to participate in Title IV need-based assistance programs.

In determining the undergraduate student headcount, include all undergraduate students who were enrolled in a program that results in the award of a bachelor's degree, those enrolled in a two-year transfer program, those enrolled in a two-year educational program that results in the award of an associate degree and those enrolled in a vocational or technical program of at least two years in length which results in the award of a certificate that testifies the student qualifies to work as a technician or at the semiprofessional level in technological fields.

Enter the total headcount in the spaces provided under Part III, Item 1.A.

PART III, ITEM 1.B. Fall 1999 RECIPIENTS OF TITLE IV NEED-BASED FINANCIAL ASSISTANCE

Determine the institution's total opening Fall 1999 academic term **unduplicated** student headcount for **undergraduate** degree students who received the following categories of Title IV need-based assistance: **Federal Pell Grant, Federal College Work Study, Federal Perkins Loan or Federal Supplemental Educational Opportunity Grant**. To compute the unduplicated student headcount, count only once each student who received Title IV need-based assistance, regardless of the number of need-based programs in which the

student participated. In determining the headcount, include all students who were enrolled in a program that results in a bachelor's degree, those enrolled in a two-year transfer program, those enrolled in a two-year education program which results in the award of an associate degree, and those enrolled in a vocational or technical program of at least two years in length and which results in the award of a certificate that testifies the student qualifies to work as a technician or at the semiprofessional level in technological fields.

Enter the total headcount in the spaces provided under item Part III, Item 1.B.

PART III, ITEM 1.C. FALL 1999 ENROLLMENT OF HALF-TIME UP TO AND INCLUDING FULL-TIME UNDERGRADUATE DEGREE STUDENTS

Determine the institution's total opening **Fall 1999 academic term undergraduate student headcount for students who were enrolled half-time up to and including full-time in degree programs at your institution.** Include only those students who were enrolled in a program that results in the award of a bachelor's degree, those enrolled in a two-year transfer program, those enrolled in a two-year educational program that results in the award of an associate degree and those enrolled in a vocational or technical program of at least 2-years in length and which results in the award of a certificate that testifies the student qualifies to work as a technician or at the semiprofessional level in technological fields.

Do not include foreign students who are not eligible for Title IV need-based financial assistance.

Enter the total headcount in the spaces provided under Part III, Item 1.C.

PART III, ITEM 1.D. FALL 1999 PELL GRANT RECIPIENTS

Determine your institution's total opening **Fall 1999 academic term undergraduate headcount of students who received Pell grants for the opening Fall 1999 academic term.**

Include Pell grant recipients who were enrolled in a program that results in the award of a bachelor's degree, those enrolled in a two-year transfer program, those enrolled in an educational program that results in the award of an associate degree and those enrolled in a vocational or technical program of at least two years in length and which results in the award of a certificate that testifies the student qualifies to work as a technician or at the semiprofessional level in technological fields.

Enter the total undergraduate headcount of Pell grant recipients in the boxes provided under Part III, Item 1.D.

PART III, ITEM 2. EDUCATIONAL & GENERAL (E&G) EXPENDITURES REQUIREMENT

Fill out **PART III, Items 2.A through 2.D** using the following instructions.

PART III, ITEM 2.A. UNDERGRADUATE FULL-TIME EQUIVALENT FALL 1999 ENROLLMENT

Determine the institution's full-time equivalent (FTE) Fall 1999 enrollment of undergraduate students, including both full-time students and part-time students. The regulations at 34 CFR Part 606.7(b) and 34 CFR Part 607.7(c) describe how you are to calculate your full-time equivalent enrollment and the instructions below paraphrase those regulations.

In determining the undergraduate FTE enrollment, do not include students who were enrolled in an educational program of less than two years in length and which do not result in the award of a certificate, an associate degree or other recognized educational credential offered by the institution. We consider the transcript that a student receives for the successful completion of a two-year transfer program to be an "other recognized educational credential".

Whatever the full-time load is at your institution, count a full-time undergraduate degree student as one FTE.

To determine the FTE for part-time undergraduate students, total the number of credit hours of all part-time undergraduate students. Include both part-time degree students and part-time unclassified students. An unclassified undergraduate student is one who is not a candidate for a degree or other formal award, but is taking courses for credit in regular classes with undergraduate degree students. However, both classified and unclassified undergraduate students must be enrolled in a program of at least two years in length that would result in the award of a certificate, associate degree or other educational credential.

Divide the total number of credit hours for the part-time undergraduate students by twelve. The result is the FTE for part-time undergraduate students.

To calculate the total Fall 1999 undergraduate degree FTE: Add the FTE of full-time undergraduate degree students and the FTE of part-time undergraduate students enrolled at the institution in Fall 1999. **[NOTE: This number should not exceed the total institutional enrollment entered under Part II, item 1.]**

Enter the total Fall 1999 undergraduate degree FTE in the spaces provided under Part III, Item 2.A.

PART III, ITEM 2.B. GRADUATE FULL-TIME EQUIVALENT FALL 1999 ENROLLMENT

Determine the institution's full-time equivalent (FTE) Fall 1999 enrollment of graduate students, if any, including both full-time and part-time students, as explained here.

A full-time graduate degree student is one whose academic load, that is, course work and other required activities, totals at least 9 credit hours.

Count each full-time graduate degree student as one FTE student.

To determine the FTE of part-time graduate students, total the number of credit hours of all part-time graduate students then divide the total by nine. In totaling the number of credit hours of all part-time graduate students, include both part-time degree students and part-time unclassified students. An unclassified graduate student is one who is not a candidate for a degree or other formal award, but is taking courses for credit in regular classes with graduate degree students.

To calculate the total graduate degree FTE: Add the FTE of full-time graduate degree students and the FTE of part-time graduate students, then multiply this total by 2.5. This final figure is the graduate degree FTE.

Enter the Fall 1999 total graduate degree FTE in the spaces provided under Part III, Item 2.B.

PART III, ITEM 2.C. TOTAL EDUCATIONAL AND GENERAL EXPENDITURES

Determine the institution's E&G expenditures for the base year July 1, 1999-June 30, 2000. The regulations at 34 CFR Part 606.7(b) and 34 CFR Part 607.7(c) define E&G expenditures as **the total amount expended by the institution for: instruction, research, public service, academic support including library expenditures, student services, institutional support, scholarships and fellowships, operation and maintenance of physical plant, and any mandatory transfers that the institution is required to pay by law.** In determining the institution's E&G expenditures, total these costs.

Do not include Federal Student Financial Aid. Exclude the total amount *directly attributable* to students who are not eligible to participate in Title IV need-based

financial assistance as well as students in vocational or technical programs of less than two years in length and which do not result in the award of either a 2-year certificate or an associate degree or other recognized educational credential such as the transcript that a student receives for the successful completion of a two-year transfer program.

Enter the total 1999-2000 E&G expenditures in the spaces provided under Part III, Item 2.C.

PART III, ITEM 2.D. AVERAGE EDUCATIONAL AND GENERAL EXPENDITURES PER FTE STUDENT

Determine the institution's average E&G expenditures per FTE for 1999-2000. To calculate this figure:

Add the Fall 1999 undergraduate FTE (Part III, Item 2.A) and the Fall 1999 graduate FTE, if any (Part III, Item 2.B). Then divide the institution's total E&G expenditures (Part III, Item 2.C) by the total FTE (Part III, Items 2.A + 2.B). The result is your institution's average E&G expenditures for the 1999-2000 base year.

Enter this number - rounded to the nearest dollar - in the spaces provided under Part III, Item 2.D.

Example

Fall 1999 undergraduate FTE is 1000
Fall 1999 graduate FTE is 250 (100 students X 2.5)
TOTAL FALL 1999 FTE is 1,250
Institution's total E&G expenditures are \$8,750,000
Institution's average E&G expenditures for Fall 1999 is \$7,000 ---
(\$8,750,000 divided by 1,250)

PART IV. SPECIFIC INSTITUTIONAL ELIGIBILITY REQUIREMENTS

Part IV, Item 1. NEEDY STUDENT REQUIREMENT.

Use the following instructions to determine whether your institution meets the needy student requirement in at least one of two possible ways.

YOUR INSTITUTION MEETS THE NEEDY STUDENT REQUIREMENT IF:

A. At least 50% of its Fall 1999 unduplicated student headcount for undergraduate degree students received financial assistance under one or more of the following programs: Federal Pell Grant, Federal College Work Study, Federal Perkins Loan or Federal Supplemental Educational Opportunity Grant.

Or

B. The percentage of its Fall 1999 undergraduate degree students who were enrolled on at least a half-time basis and received Federal Pell grants exceeded the median percentage of undergraduate degree students who were enrolled on at least a half-time basis and received Federal Pell Grants at comparable institutions that offered similar instruction.

Part IV, ITEM 1. A. At least 50% or more of Fall 1999 degree students were recipients of need-based financial support.

If your institution **meets** the needy student requirement because **50 percent or more** of its Fall 1999 enrolled degree students received the above-mentioned Title IV need-based financial assistance, fill in the bubble next to Part IV, Item 1.A. **If the percentage turns out to be less than 50%, leave the bubble blank next to Part IV, Item 1.A.**

**Needy Student Calculation (EXAMPLE)
(Bubble A)**

To determine whether your institution meets the statutory needy student requirement for the base year 1999-2000, divide the number of Fall 1999 Title IV recipients (Part III, Item 1.B) by the Fall 1999 enrollment of degree students (Part III, Item 1.A). The result (Part III 1.B divided by Part III 1.A) is the percentage of needy students enrolled in the institution for the base year. If the result is 50 percent or more, your institution meets the statutory needy student requirement threshold. The regulations at 34 CFR Part 606.3(a)(1) and at 34 CFR Part 607.3(a)(1) describe the needy student requirement.

Example

, Fall 1999 enrollment (Part III 1.A) = 800 degree students
, Fall 1999 Title IV recipients (Part III 1.B) = 600 students
, Percentage of recipients of need-based financial support
= 75% (600 divided by 800)

The example institution meets the needy student requirement because 50 percent or more of its Fall 1999 degree students received need-based financial support.

Part IV, ITEM 1.B. The percentage of Federal Pell Grant recipients at the applicant institution exceeded the median percentage at similar institutions.

If your institution **meets** the statutory needy student requirement because the percentage of its Fall 1999 enrolled students that received Pell grants exceeded the median Federal Pell Grant percentage for its category of institutions (see below), **fill in the bubble** next to Part IV, Item 1.B. If your percentage **does not exceed** the median Federal Pell Grant percentage for your category of institution, **leave the bubble blank next to Part IV, Item 1.B.**

If the institution meets both Part IV, Items 1.A and 1.B, fill in the bubbles next to both Part IV, Item 1.A and Item 1.B.

Needy Student Calculation (EXAMPLE)
(Bubble B)

To determine if your institution meets the statutory needy student requirement for the 1999-2000 base year, **divide the number of Fall 1999 Pell grant recipients (Part III Item 1.D) by the Fall 1999 enrollment of half-time up to and including full-time degree students (Part III Item 1.C)**. The result (Part III 1.D divided by Part III 1.C) is the percentage of Pell grant recipients enrolled in the institution for the base year. If this result **exceeds** the "Median Federal Pell Grant Percentage" for your category of institution, your institution meets the statutory needy student requirement threshold.

Example

Fall 1999 enrollment of half-time to full-time degree students
(Part III 1.C) = 750

Fall 1999 Pell grant recipients (Part III 1.D) = 250

Fall Pell grant percentage = 33.33% (250 divided by 750)

Here are the median Federal Pell Grant percentages or thresholds for base year 1999-2000:

For 2-year public institutions, the median = 18.9%

For 2-year non-profit private institutions, the median = 31%.

For 4-year public institutions, the median = 23.5%

For 4-year non-profit private institutions, the median = 23.4%.

Since in our example, the institution's Pell Grant percentage is greater than the median Pell grant percentage for any category of institution, the example institution meets the needy student requirement.

PART IV, ITEM 1.C. YOU ARE REQUESTING A WAIVER OF THE NEEDY STUDENT REQUIREMENT.

If the institution **does not meet** the statutory needy student requirement, **under either** the Title IV need-based financial assistance 50% threshold **or** the appropriate Pell grant threshold, you may request a waiver of this requirement. Before doing so, **study below the seven possible options under which you may attempt to make your case that we grant you a waiver.** These options correspond to the seven options listed in the regulations at 34 CFR Part 606.3(b) and 34 CFR Part 607.3(b).

Fill in the bubble corresponding to Part IV, Item 1.C, denoting that you are requesting a waiver.

After you review the seven possible options for requesting a waiver of the needy student requirement, select the option(s) that applies to your institution's particular case. You may apply under more than one option if you wish. Check the appropriate box(es) at Part IV, Item 1.C, "(1)-(7)", corresponding to the option(s) under which you are applying for a waiver.

Prepare a narrative, on a separate sheet(s) of paper, providing the required evidence that shows the chosen waiver option(s) does, indeed, apply to your particular institution. **The narrative must contain persuasive and compelling evidence following the instructions detailed below.**

Needy Student Waiver Option #1, 34 CFR 606.3(b)(1) and 607.3(b)(1)

Provide evidence that the **State provided more than 30 percent of your institution's budget** for the 1999-2000 base year.

AND

Provide evidence that your institution charged **not more than \$99.00 per student for the entire 1999-2000 academic year's tuition and fees.**

Needy Student Waiver Option #2, 34 CFR 606.3(b)(2) and 607.3(b)(2)

Provide evidence that **at least 30 percent** of the students served by your institution in the 1999-2000 base year **were students from low-income families.**

The regulations at 34 CFR Part 606.7(c) and 34 CFR 607.7(b) define a low income individual to be one from a family whose taxable income for the base

year did not exceed 150% of an amount equal to the poverty level as determined by the Bureau of the Census. In the Notice Inviting Applications for eligibility included below, we stated the low-income figures for the 1999-2000 base year.

Needy Student Waiver Option #3, 34 CFR 606.7(3)(b) and 607.3(b)(3)

Provide evidence that your institution, in the base year, **substantially increased the higher education opportunities for low-income students who were also educationally disadvantaged, or from groups underrepresented in postsecondary education, or were minority students.** The program regulations at 34 CFR 606.7(b) and 607.7(c) define "*educationally disadvantaged*", "*minority student*" and "*underrepresented*".

Include *ALL* the following information:

1. A description of the student body characteristics, including the racial/ethnic composition and the number of low-income students, for the 1999-2000 base year.
2. The number of low-income students for the base year 1999-2000 who were also educationally disadvantaged, from groups underrepresented in postsecondary education, or minority students.
3. A description of the programs and services in place during the 1999-2000 base year that were specifically designed to increase the educational opportunities for the low income students who were also educationally disadvantaged, from groups underrepresented in higher education or minority students.
4. A longitudinal progression detailing the number of these students served by the institution's programs and services during the past five academic periods: 1996-1997, 1997-1998, 1998-1999, 1999-2000, and 2000-2001.

Needy Student Waiver Option #4, 34 CFR 606.3(b)(4) and 607.3(b)(4)

Provide evidence that your institution substantially increased the higher education opportunities in the 1999-2000 base year **for individuals who resided in an area that is not included in a "metropolitan statistical area" (MSA)** as defined by the Office of Management and Budget and who were unserved by other postsecondary institutions.

Include *ALL* of the following information:

1. The geographical areas of residence for enrolled students in the 1999-2000 base year including:

the percentage of enrolled students from MSAs; and
the percentage of enrolled students from locations outside an MSA.

2. A map or scale drawing showing the geographically isolated or rural nature of your institution's location. Include its geographic relationship to the nearest other institution(s) of higher education and nearest MSA; and the mileage between the institution and other institutions and the nearest MSA.

3. A description of the geographic barriers and climatic and other conditions that limit the options of individuals to attend other institutions.

4. A brief longitudinal progression detailing the number of enrolled students served by the applicant institution during the past five academic periods: 1996-1997, 1997-1998, 1998-1999, 1999-2000, and 2000-2001 – who resided in areas outside the boundaries of an MSA.

Needy Student Waiver Option #5, 34 CFR 606.3(b)(5) and 607.3(b)(5)

Provide evidence that your institution is located **on or within 50 miles of an American Indian reservation or of a substantial population of American Indians**, and that the institution will substantially increase higher education opportunities for American Indians. In addressing "higher education opportunities for American Indians" include both student enrollment and retention.

Include *ALL* the following information:

1. A map or scale drawing showing your institution's location in relation to the American Indian reservation or population center. Include the mileage between the institution and the reservation or population center.

2. A description of the student body characteristics for the 1999-2000 base year and the two academic years following the base year (2000-2001 and 2001-2002). Include the racial/ethnic composition, and specifically identify the number and percentage of American Indian students by full-time and part-time status.

3. Describe the programs and services in place during the 1999-2000 base year and the two academic years following the base year (2000-2001 and 2001-2002) that were specifically designed to increase the higher educational opportunities for American Indians.

4. Describe your institution's plans to develop and implement programs and services specifically designed to increase the higher educational opportunities for American Indians.

5. Describe the institution's enrollment goals for American Indian students for the next three academic years (2003-2004, 2004-2005 and 2005-2006). Detail the institution's plans to meet these goals.

Needy Student Waiver Option #6, 34 CFR 606.3(b)(6) 607.3(b)(6):

Your institution meets the definition of a **tribally controlled college or university** as defined in section 2 of the Tribally Controlled College or University Assistance Act of 1978. Please provide a certification that supports your institution meets this definition.

Needy Student Waiver Option #7, 34 CFR 606.3(b)(7) and 607.3(b)(7):

Provide evidence that your institution **will substantially increase higher education opportunities for American Indians, Alaska Natives, Black Americans, Hispanic Americans, Asian Americans, Pacific Islanders or Native Hawaiians**. In addressing "higher education opportunities" include both student enrollment and retention.

Include *ALL* of the following information:

1. A description of the student body characteristics for the 1999-2000 base year and the two academic years following the base year (2000-2001 and 2001-2002). Include the racial/ethnic composition and specifically identify the number and the percentage for each racial/ethnic group listed above by full-time and part-time status.

2. Describe the programs and services in place during the 1999-2000 base year and the two academic years following the base year (2000-2001 and 2001-2002) that were specifically designed to increase the higher educational opportunities for one or more of the racial/ethnic groups listed above.

3. Describe the programs and services your institution is currently developing that are specifically designed to increase the higher educational opportunities for one or more of the racial/ethnic groups listed above. Include the projected date(s) for the implementation of these programs and services.

4. Describe your institution's enrollment goals for one or more of the racial/ethnic groups listed above for the next three academic years (2003-2004,

2004-2005 and 2005-2006). Explain in detail the institution's plans to meet these goals.

Part IV, Item 2. Education & General Expenditures Requirement

Your institution meets the E&G expenditures requirement if its average E&G expenditures per FTE student cited in Part III Item 2.D. is less than the average E&G per FTE for the same category of institution. The average 1999-2000 E&G expenditures per FTE student for each category of institution is the following:

2 year public institution	=	\$ 8,348 per FTE student.
2 year non-profit private	=	\$20,101 per FTE student.
4 year public institution	=	\$19,516 per FTE student.
4 year non-profit private	=	\$30,152 per FTE student.

Part IV, Item 2.A

Darken bubble 2.A only if your institution's 1999-2000 average E&G expenditures per FTE is less than the average E&G expenditures per FTE student for its category of institution.

Part IV, Item 2.B

Darken bubble B if your institution exceeded the E&G expenditures threshold and you are requesting a waiver.

Put a check next to the number(s) 1 through 5 that corresponds with the selected waiver option(s). Write a justification for each requested waiver option.

Instructions for Selecting Waiver Option(s) for the E&G Expenditures Requirement

Review all five waiver options provided below, and select the option(s) that applies to your institution's particular case. You may request multiple options. You must submit a written justification with the eligibility application form for each option requested. The waiver option justification narrative must contain persuasive evidence that the specific waiver condition exists.

E&G Waiver Option #1, 34 CFR 606.4(d)(1) and 607.4(d)(1)

Low student enrollment in the Fall of 1999 distorted your institution's E&G expenditures per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program. The institution may show that its enrollment was low relative to the enrollment before the base year, low relative to the enrollment after the base year, and/or low relative to other similar institutions in the State.

E&G Waiver Option #2, 34 CFR 606.4(d)(2) and 607.4(d)(2)

Location of the institution in **an unusually high cost-of-living area** distorted your institution's E&G expenditures per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program.

E&G Waiver Option #3, 34 CFR 606.4(d)(3) and 607.4(d)(3)

High energy costs distorted your institution's E&G expenditures per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program.

E&G Waiver Option #4, 34 CFR 606.4(d)(4) and 607.4(d)(4)

An increase in State funding that was part of a desegregation plan for higher education distorted your institution's E&G expenditures per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program.

E&G Waiver Option #5, 34 CFR 606.4(2)(5) and 607.4(d)(5)

Operation of high cost professional schools such as medical or dental schools distorted your institution's E&G expenditures per FTE undergraduate student and the institution's eligible designation is otherwise consistent with the purposes of the Title III or Title V program.

For additional information, please refer to the Title III Eligibility application Website at <http://www.ed.gov/offices/OPE/HEP/ides/eligibility2003.html>.

